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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YOR9-2000-0671US1 (8728-451)  
 First Inventor Thomas D. Erickson  
 Title SYSTEM AND METHOD FOR A ...  
 Express Mail Label No. EL757868384US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2. ☐ Applicant claims small entity status.  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 23]  
*(preferred arrangement set forth below)*
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 17 completed)*
- i. ☐ DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies), or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
*(when there is an assignee)*
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16. ☒ Other: Associate Power of Attorney

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. /

Prior application information:

Examiner

Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name Frank Chau, Esq.  
 F. CHAU & ASSOCIATES, LLP  
 Address 1900 Hempstead Turnpike, Suite 501  
 City East Meadow State New York Zip Code 11554  
 Country USA Telephone 516-357-0091 Fax 516-357-0092

Name (Print/Type) Frank Chau Registration No. (Attorney/Agent) 34,136  
 Signature [Signature] Date 3/14/01

Burdur Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

03/14/01  
 1054 U.S. PTO

03/14/01  
 09/808211  
 03/14/01

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Thomas G. Erickson, Peter K. Malkin, Tracee Wolf

For: SYSTEM AND METHOD FOR A DISTRIBUTED SOCIAL PROXY

Enclosed are: [X] 18 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 4 sheet(s) of claims; [X] 4 sheet(s) of drawing(s);

[X] An assignment of the invention to: International Business Machines Corporation, Armonk, New York, with Recordation Form.

[X] Declaration and Power of Attorney.

[ ] A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.

[X] Associate Power of Attorney.

The filing fee has been calculated as shown below:

(Col. 1) (Col. 2)

FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	22-20 =	2
INDEP CLAIMS	3-3 =	0
MULTIPLE DEPENDENT CLAIMS PRESENTED		

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

OTHER THAN A  
SMALL ENTITY

RATE	FEE
	\$710.00
X \$18 =	36.00
X \$80 =	0
+ 270 =	
TOTAL	\$746.00

[ ] A check in the amount of \$\_\_\_\_\_ to cover the [ ] filing fee(s), [ ] recording fee is enclosed.

[X] Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$746.00.

[X] The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

[X] Any additional filing fees required under 37 CFR 1.16.

[X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

Frank Chau  
Registration No. 34,136

Please address all  
correspondence to:

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Tpke., Suite 501  
East Meadow, NY 11554  
Tel: (516) 357-0091  
Fax: (516) 357-0092

Attorney for:  
IBM Corporation  
Intellectual Property Law Dept.  
P.O. Box 218  
Yorktown Heights, NY 10598

**CERTIFICATION UNDER 37 C.F.R. §1.10**

I hereby certify that this Application transmittal and documents referred to as enclosed are being deposited with the United States Postal Service on this date March 14, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL757868384US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Frank Chau

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT

(\$ 786.00)

## Complete if Known

Application Number

Filing Date

March 14, 2001

First Named Inventor

Thomas D. Erickson

Examiner Name

Group Art Unit

Attorney Docket No.

8728-451 (YOR9-2000-0671U21)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit  
Account  
Number

50-0510/IBM

Deposit  
Account  
Name

IBM/Yorktown Heights

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$)	Code (\$)	Code (\$)	Code (\$)	Code (\$)	Fee Description	Fee Paid
101	710	201	355		Utility filing fee	710
106	320	206	160		Design filing fee	
107	490	207	245		Plant filing fee	
108	710	208	355		Reissue filing fee	
114	150	214	75		Provisional filing fee	

SUBTOTAL (1) (\$ 710.00)

## 2. EXTRA CLAIM FEES

Total Claims 22 Extra Claims Fee from below Fee Paid

Independent Claims 2 -20\*\* = 2 x 18 = 36

Multiple Dependent 20 -3\*\* = 20 x 80 = 1600

Multiple Dependent 270 = 270

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$)	Code (\$)	Code (\$)	Code (\$)	Code (\$)	Fee Description	Fee Paid
103	18	203	9		Claims in excess of 20	
102	80	202	40		Independent claims in excess of 3	
104	270	204	135		Multiple dependent claim, if not paid	
109	80	209	40		** Reissue independent claims over original patent	
110	18	210	9		** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 3600)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$)	Code (\$)	Code (\$)	Code (\$)	Code (\$)	Fee Description	Fee Paid
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for ex parte reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	390	216	195		Extension for reply within second month	
117	890	217	445		Extension for reply within third month	
118	1,390	218	695		Extension for reply within fourth month	
128	1,890	228	945		Extension for reply within fifth month	
119	310	219	155		Notice of Appeal	
120	310	220	155		Filing a brief in support of an appeal	
121	270	221	135		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1,240	241	620		Petition to revive - unintentional	
142	1,240	242	620		Utility issue fee (or reissue)	
143	440	243	220		Design issue fee	
144	600	244	300		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Petitions related to provisional applications	
126	240	126	240		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	40
146	710	246	355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355		For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

## SUBMITTED BY

Name (Print/Type)

Frank Chau

Registration No.  
(Attorney/Agent)

34,136

## Complete (if applicable)

Telephone

(516) 357-0091

Signature

Date

3/14/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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